

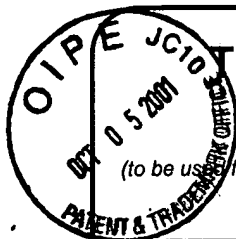
Please type a plus sign (+) inside this box → ☐

PTO/SB/21 (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.



# TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

|                        |                |
|------------------------|----------------|
| Application Number     | 09/895,478     |
| Filing Date            | June 29, 2001  |
| First Named Inventor   | Harnden, James |
| Group Art Unit         | 2811           |
| Examiner Name          | Unassigned     |
| Attorney Docket Number | 020964000210   |

Total Number of Pages in This Submission

## ENCLOSURES (check all that apply)

|  |  |  |
|--|--|--|
| <input checked="" type="checkbox"/> Fee Transmittal Form<br><input type="checkbox"/> Fee Attached<br><input type="checkbox"/> Amendment / Response<br><input type="checkbox"/> After Final<br><input type="checkbox"/> Affidavits/declaration(s)<br><input type="checkbox"/> Extension of Time Request<br><input type="checkbox"/> Express Abandonment Request<br><input type="checkbox"/> Information Disclosure Statement<br><input type="checkbox"/> Certified Copy of Priority Document(s)<br><input type="checkbox"/> Response to Missing Parts/Incomplete Application<br><input checked="" type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53 | <input type="checkbox"/> Assignment Papers (for an Application)<br><input type="checkbox"/> Drawing(s)<br><input type="checkbox"/> Licensing-related Papers<br><input type="checkbox"/> Petition Routing Slip (PTO/SB/69) and Accompanying Petition<br><input type="checkbox"/> Petition to Convert to a Provisional Application<br><input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address<br><input type="checkbox"/> Terminal Disclaimer<br><input type="checkbox"/> Request for Refund<br><input type="checkbox"/> CD, Number of CD(s) | <input type="checkbox"/> After Allowance Communication to Group<br><input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences<br><input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)<br><input type="checkbox"/> Proprietary Information<br><input type="checkbox"/> Status Letter<br><input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):<br>Executed Declaration and Power of Attorney, Return Postcard |
|--|--|--|

Remarks

The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

## SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

|                          |   |                |
|--------------------------|---|----------------|
| Firm and Individual name | Townsend and Townsend and Crew LLP<br>Kent J. Tobin | Reg No. 39,496 |
| Signature                |   |                |
| Date                     | 10/1/01   |                |

## CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on this date:

10/1/01

|                       |              |      |         |
|-----------------------|--------------|------|---------|
| Typed or printed name | Aimee Durham |      |         |
| Signature             |              | Date | 10/1/01 |

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.  
PA 3173912 v.1

# FEE TRANSMITTAL for FY 2001

Patent fees are subject to annual revision.

AMOUNT OF PAYMENT (\$) 65

## Complete if Known

Application Number 09/895,478  
Filing Date June 29, 2001  
First Named Inventor Harnden, James  
Examiner Name Unassigned  
Group Art Unit 2811  
Attorney Docket No. 020964-000210US

## METHOD OF PAYMENT

1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:

Deposit  
Account  
Number

20-1430

Deposit  
Account  
Name

Townsend and Townsend and Crew LLP

- ☒ Charge Any Additional Fee Required  
Under 37 CFR 1.16 and 1.17  
☒ Applicant claims small entity status.  
See 37 CFR 1.27

2. ☐ Payment Enclosed:

☐ Check ☐ Credit card ☐ Money  
Order ☐ Other

## FEE CALCULATION

### 1. BASIC FILING FEE

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description        | Fee Paid |
|----------------------|-----------------------|----------------------|-----------------------|------------------------|----------|
| 101                  | 710                   | 201                  | 355                   | Utility filing fee     |          |
| 106                  | 320                   | 206                  | 160                   | Design filing fee      |          |
| 107                  | 490                   | 207                  | 245                   | Plant filing fee       |          |
| 108                  | 710                   | 208                  | 355                   | Reissue filing fee     |          |
| 114                  | 150                   | 214                  | 75                    | Provisional filing fee |          |

SUBTOTAL (1)

(\$)

### 2. EXTRA CLAIM FEES

|                       |  |       |   |                 |   |                   |   |             |
|-----------------------|--|-------|---|-----------------|---|-------------------|---|-------------|
| Total Claims          |  | -20** | = | Extra<br>Claims | X | Fee from<br>below | = | Fee<br>Paid |
| Independent<br>Claims |  | -3**  | = |                 | X |                   | = |             |
| Multiple<br>Dependent |  |       | = |                 | X |                   | = |             |

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description  |
|----------------------|-----------------------|----------------------|-----------------------|--|
| 103                  | 18                    | 203                  | 9                     | Claims in excess of 20                                     |
| 102                  | 80                    | 202                  | 40                    | Independent claims in excess of 3                          |
| 104                  | 270                   | 204                  | 135                   | Multiple dependent claim, if not paid                      |
| 109                  | 80                    | 209                  | 40                    | ** Reissue independent claims over original patent         |
| 110                  | 18                    | 210                  | 9                     | ** Reissue claims in excess of 20 and over original patent |

SUBTOTAL (2)

(\$)

\*\*or number previously paid, if greater; For Reissues, see above

## FEE CALCULATION (continued)

### 3. ADDITIONAL FEES

| Large<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Small<br>Fee<br>Code | Entity<br>Fee<br>(\$) | Fee Description  | Fee<br>Paid |
|----------------------|-----------------------|----------------------|-----------------------|--|-------------|
| 105                  | 130                   | 205                  | 65                    | Surcharge - late filing fee or oath  | 65          |
| 127                  | 50                    | 227                  | 25                    | Surcharge - late provisional filing fee or cover sheet.                    |             |
| 139                  | 130                   | 139                  | 130                   | Non-English specification  |             |
| 147                  | 2,520                 | 147                  | 2,520                 | For filing a request for reexamination                                     |             |
| 112                  | 920*                  | 112                  | 920*                  | Requesting publication of SIR prior to Examiner action                     |             |
| 113                  | 1,840*                | 113                  | 1,840*                | Requesting publication of SIR after Examiner action                        |             |
| 115                  | 110                   | 215                  | 55                    | Extension for reply within first month                                     |             |
| 116                  | 390                   | 216                  | 195                   | Extension for reply within second month                                    |             |
| 117                  | 890                   | 217                  | 445                   | Extension for reply within third month                                     |             |
| 118                  | 1,390                 | 218                  | 695                   | Extension for reply within fourth month                                    |             |
| 128                  | 1,890                 | 228                  | 945                   | Extension for reply within fifth month                                     |             |
| 119                  | 310                   | 219                  | 155                   | Notice of Appeal   |             |
| 120                  | 310                   | 220                  | 155                   | Filing a brief in support of an appeal                                     |             |
| 121                  | 270                   | 221                  | 135                   | Request for oral hearing   |             |
| 138                  | 1,510                 | 138                  | 1,510                 | Petition to institute a public use proceeding                              |             |
| 140                  | 110                   | 240                  | 55                    | Petition to revive - unavoidable   |             |
| 141                  | 1,240                 | 241                  | 620                   | Petition to revive - unintentional   |             |
| 142                  | 1,240                 | 242                  | 620                   | Utility issue fee (or reissue)   |             |
| 143                  | 440                   | 243                  | 220                   | Design issue fee   |             |
| 144                  | 600                   | 244                  | 300                   | Plant issue fee  |             |
| 122                  | 130                   | 122                  | 130                   | Petitions to the Commissioner  |             |
| 123                  | 50                    | 123                  | 50                    | Petitions related to provisional applications                              |             |
| 126                  | 180                   | 126                  | 180                   | Submission of Information Disclosure Stmt                                  |             |
| 581                  | 40                    | 581                  | 40                    | Recording each patent assignment per property (times number of properties) |             |
| 146                  | 710                   | 246                  | 355                   | Filing a submission after final rejection (37 CFR § 1.129(a))              |             |
| 149                  | 710                   | 249                  | 355                   | For each additional invention to be examined (37 CFR § 1.129(b))           |             |
| 179                  | 710                   | 279                  | 355                   | Request for Continued Examination (RCE)                                    |             |
| 169                  | 900                   | 169                  | 900                   | Request for expedited examination of a design application                  |             |

Other fee (specify)

The Commissioner is authorized to charge any additional fees to the above noted Deposit Account.


\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$65)

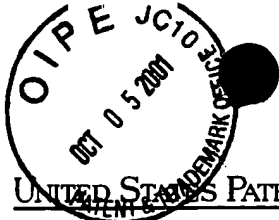
## SUBMITTED BY

## Complete (if applicable)

Name (Print/Type) Kent J. Tobin Registration No. (Attorney/Agent) 39,496 Telephone 650-326-2400  
Signature  Date 10/1/01

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

#3



UNITED STATES PATENT AND TRADEMARK OFFICE

COMMISSIONER FOR PATENTS  
UNITED STATES PATENT AND TRADEMARK OFFICE  
WASHINGTON, D.C. 20231  
www.uspto.gov

| APPLICATION NUMBER | FILING/RECEIPT DATE | FIRST NAMED APPLICANT | ATTORNEY DOCKET NUMBER |
|--------------------|---------------------|-----------------------|------------------------|
| 09/895,478         | 06/29/2001          | James Harnden         | 020964-000210US        |

CONFIRMATION NO. 6536

20350  
TOWNSEND AND TOWNSEND AND CREW  
TWO EMBARCADERO CENTER  
EIGHTH FLOOR  
SAN FRANCISCO, CA 94111-3834

## FORMALITIES LETTER



\*OC00000006461760\*

Date Mailed: 08/22/2001

## NOTICE TO FILE MISSING PARTS OF NONPROVISIONAL APPLICATION

10/09/2001 SDIRETAL 00000057 201430 09895478

FILED UNDER 37 CFR 1.53(b)

01 FC:205 65.00 CH

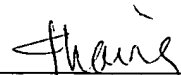
*Filing Date Granted*

An application number and filing date have been accorded to this application. The item(s) indicated below, however, are missing. Applicant is given **TWO MONTHS** from the date of this Notice within which to file all required items and pay any fees required below to avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee under the provisions of 37 CFR 1.136(a).

- The oath or declaration is missing.  
*A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by the above Application Number and Filing Date, is required.*
- To avoid abandonment, a late filing fee or oath or declaration surcharge as set forth in 37 CFR 1.16(e) of \$65 for a small entity in compliance with 37 CFR 1.27, must be submitted with the missing items identified in this letter.
- The balance due by applicant is \$ 65.

---

*A copy of this notice **MUST** be returned with the reply.*

  
Customer Service Center

Initial Patent Examination Division (703) 308-1202

PART 2 - COPY TO BE RETURNED WITH RESPONSE

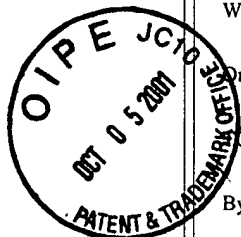
I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

PATENT  
Attorney Docket No.: 020964-000210US

Assistant Commissioner for Patents

Attn: Box Missing Parts

Washington, D.C. 20231



On October 1 2001

TOWNSEND and TOWNSEND and CREW LLP

By: [Signature]

#5  
Authorized  
File  
11702  
1255

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

James Harnden et al.

Application No.: 09/895,478

Filed: June 29, 2001

For: Improved Surface Mount Package

Examiner: Unassigned

Art Unit: 2811

TRANSMITTAL LETTER –  
RESPONSE TO NOTICE OF MISSING  
PARTS

Attn: Box Missing Parts  
Assistant Commissioner for Patents  
Washington, D.C. 20231

Sir:

Pursuant to the Notice to File Missing Parts of Nonprovisional Application, dated August 22, 2001, enclosed are the following to be made of record in the above-identified application:

- 1) Executed Declaration and Power of Attorney
- 2) Copy of Notice of Missing Parts

Please charge Deposit Account No. 20-1430 for the following fees:

|               |   |                   |
|---------------|---|-------------------|
| Small Entity: | (a) Filing Fee (§ 1.16(a)) (Small Entity) | \$0.00            |
|               | (b) Excess Claims Fees (§ 1.16(b), (c)):  |                   |
|               | - 20 = 0                                  | x \$9.00 = \$0.00 |

|                                 |                         |                |
|---------------------------------|-------------------------|----------------|
| - 3 = 0                         | x \$42.00 =             | \$0.00         |
| (c)                             | Missing Parts Surcharge | \$65.00        |
| <b>TOTAL FEES TO BE CHARGED</b> |                         | <b>\$65.00</b> |

The Commissioner is hereby authorized to charge any additional fees associated with this paper or during the pendency of this application, or credit any overpayment, to Deposit Account No. 20-1430. This Transmittal Letter is submitted in triplicate.

Respectfully submitted,



Kent J. Tobin  
Reg. No. 39,496

**Customer No. 20350**

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 650-326-2400  
Fax: 415 576-0300  
KJT:ad